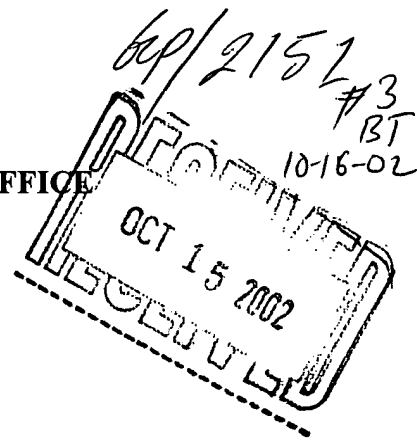




10-07-02

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
Art Unit 2151 Examiner Unknown



In Re: Gregg Freishtat et al.  
Case: P3985  
Serial No.: 09/842,241  
Filed: 04/24/2001  
Subject: System and Method for Syndicated Transactions

To: The Commissioner of Patents and Trademarks  
Washington, D.C. 20231

RECEIVED  
OCT 09 2002  
Technology Center 2100

Dear Sir,


**Information Disclosure Statement Under 37 C.F.R. 1.97**

Enclosed herewith is an Information Disclosure Statement (IDS) by Applicant listing three references received from the PCT International Search Report (copy enclosed) in case PCT/US01/13252, mailed September 6, 2001. Applicant desires that the reference be entered in the above referenced case as relevance dictates.

As prosecution has not begun in this case, in accordance with rule 1.97(a)(3), no additional fee is required. Please charge any deficiency to Deposit Account No. 50-0534.

Respectfully submitted,

Gregg Freishtat et al.  
by

  
Donald R. Boys  
Reg. No. 35,074

Donald R. Boys  
Central Coast Patent Agency, Inc.  
P.O. Box 187  
Aromas, CA 95004  
(831) 726-1457

PTO/SB/08A (10-01)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO				<div style="text-align: center;"><i>C m p l e t e i f K n o w n</i></div>	
<div style="text-align: center;"> <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> </div> <div style="text-align: center;"> <i>(use as many sheets as necessary)</i> </div>				Application Number	09/842,241
				Filing Date	04/24/2001
				First Named Inventor	Gregg Freishtat
				Art Unit	2151
				Examiner Name	Unknown
				Attorney Docket Number	P3985
Sheet	1	of	1		

U.S. PATENT DOCUMENTS					
Examiner Initials	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code <sup>2</sup> (if known)			
		US- 5943424	08-24-1999	Berger et al.	whole document
		US- 5963924	10-05-1999	Williams et al.	whole document
		US- 5978779	11-02-1999	Stein et al.	whole document
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			

**RECEIVED**

OCT 09 2002

Technology Center 2

[illegible]

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

**Burden Hour Statement:** This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:** Assistant Commissioner for Patents, Washington, DC 20231.